



STATE OF IOWA

# **TECHNOLOGY AUDIT REPORT FISCAL YEAR 2007**

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March, 2008

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## Introduction

Per Iowa Code Section 8A.223<sup>1</sup> the Information Technology Enterprise of the Iowa Department of Administrative Services (DAS ITE) has completed a technology audit for Fiscal Year 2007 (July 1, 2006 – June 30, 2007).

### **8A.223 Audits required.**

*A technology audit of the electronic transmission system by which government records are transmitted electronically to the public shall be conducted not less than once annually for the purpose of determining that government records and other electronic data are not misappropriated or misused by the department or a contractor of the department.*

In the above cite, the term "department" refers to the Iowa Department of Administrative Services, Information Technology Enterprise.

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## Methodology

Per legislative mandate, the Information Technology Enterprise conducted a technology audit of the electronic transmission system by which State of Iowa records are transferred to the public. Specifically, the audit is intended to determine if government records and electronic data were misappropriated or misused by the Department of Administrative Services Information Technology Enterprise (previously the Information Technology Department) or by contract personnel. As in past audits, the Information Technology Enterprise investigated the following potential areas of misuse and misappropriation:

- Inappropriate transmission of government records containing personal information about Iowa citizens.
- Inappropriate transmission of government records containing confidential government information.
- Inappropriate use of the State website for commercial advertising.

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## Research

Information Technology Enterprise personnel interviewed 51 State government employees at 28 separate State entities that were directly involved with electronic data transmission through the IOWAccess network. The Information Technology Enterprise was able to conclude the following:

### IOWAccess Server Access Account Maintenance

- The understanding of the Audit Project Team is that it is the responsibility of the customer agency to request an IOWAccess account for a staff member in their agency and also to request deactivation of that account. These accounts allow the staff member to update the static Web content displayed on the IOWAccess server.
- It appears the requesting agencies are not always diligent in keeping the account information current with ITE. Therefore, much of that burden is placed on our agency to perform this housekeeping for our customers.
- The Audit Project Team has offered to assist with this process. Previously, the development of an automated routine that would report on account use/dormancy on a periodic or request basis

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<sup>1</sup> 8A.223 is the applicable code reference after the formation of the Iowa Department of Administrative Services. Code reference prior to July 1, 2003 was 14B.204

was suggested. It is important to note, however, that inactivity on an account may not be a suitable indication of its validity. Also discussed was the possibility of periodically querying customer agencies regarding the status of their accounts and account holders. The Audit Project Team thinks these enhancements to the current account maintenance process would be well-advised.

### Personal Information

- Iowa Interactive personnel were never given access to government records containing personal information about Iowa citizens beyond that required as part of their contract responsibilities and are subject to confidentiality provisions therein.
- DAS ITE personnel were never given access to government records containing personal information about Iowa citizens beyond that which was provided as a normal part of their job responsibilities.

### Confidential Government Information

- Iowa Interactive personnel were never given access to government records containing confidential government information beyond that required as part of their contract responsibilities and are subject to confidentiality provisions therein.
- DAS ITE personnel were never given access to government records containing confidential government information beyond that which was needed as a normal part of job responsibilities.

Information Technology Enterprise personnel scanned the state's home page and reviewed all of the links to other web pages. The following table shows the links by type that were reviewed.

<b>Fiscal Year 2007 data.</b>	
<b>Link Type</b>	<b>Number of Links</b>
ftp://	55
gopher://	9
http://	136,936
https://	1,472
mailto:	16,022
news:	0
telnet://	0
file://	5,488
Other (links to local pages)	282,436
<b>Total Links</b>	<b>442,418</b>

None of the links to non-State web sites provided unauthorized commercial advertising.

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## **Conclusion**

Based upon the data reviewed, the Information Technology Enterprise found no evidence of misuse or misappropriation of government records by either DAS ITE personnel or contract personnel.

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Department of Administrative Services

Department of Administrative Services  
Information Technology Enterprise

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